

# **Regulations**

# **UGC (Submission of Metadata and Full-text of Doctoral Theses in Electronic Format) Regulations, 2005**

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## **NOTIFICATION**

In exercise of powers conferred by clause (e) & (g) of sub-section (1) of Section 26 read with Section 14 of the University Grants Commission Act, 1956 (3 of 1956), the University Grants Commission hereby makes the **UGC (*Submission of Metadata and Full-text of Doctoral Theses in Electronic Format*) Regulations, 2005**

### **Preamble**

Recognizing the need for a comprehensive database of doctoral theses for maintenance of quality of doctoral research in the country, these regulations are being issued to effect systematic creation, collection and compilation of cataloguing information, herein after called “metadata” of doctoral theses in a standardized format and to commence the process of submission of theses in electronic format, herein after called e-theses, in all universities. These regulations shall enable the UGC to:

- evolve a mechanism for creation of metadata of theses in a uniform format in all universities and its centralized collection, compilation and access through a database over Internet;
- commence the process of submission of e-theses in each university;
- establish OAI-complaint e-theses repositories at each university / regional electronic repositories and metadata harvesting services at the national level; and
- create, collect and compile metadata for all doctoral theses submitted to universities in India from retrospect. The resultant database would be made accessible on the Internet.

### **Regulations**

#### **1. Creation of Metadata for Current Theses**

- 1.1. Each doctoral student shall create a record for his / her theses on the website of Indian National Theses Database. S/he would submit a print-out of bibliographic record created by him / her, a copy of title page of his / her thesis to a centralized agency to be named by the UGC;
- 1.2. The metadata submitted by the student should be duly checked by research supervisor / trained library staff for its completeness and accuracy. Corrections, if any should be duly made in the Indian National Theses Database;

- 1.3. Each university would assign Indian Standard Thesis Number (ISTN) recommended by the UGC once the final process of thesis adjudication is completed. The national committee would work-out proposition for generating unique ISTN number (s);
- 1.4. Each university would send the metadata information as above to a centralized agency to be named by the UGC; and
- 1.5. In addition to generating an online record, universities may send metadata of doctoral theses submitted to their universities in print format as well as in MS Excel Sheet / OpenOffice Calc (a column each for a field) or comma delimited file as soon as the Ph. D degree is notified.

## **2. Submission of E-Theses**

- 2.1. Each university shall make the submission of electronic version of the doctoral thesis a mandatory requirement for all doctoral students. This may be introduced by modifying the existing Ph. D regulations of universities by including a clause on "*Submission of Theses*";
- 2.2. The e-theses may be submitted in preferably in the PDF format. However, other formats such as MS-Word, RTF, PS, LaTeX, HTML or any other standard format may also be accepted;
- 2.3. Universities, through their libraries and computer centres, should provide facilities and assistance to researchers for converting their doctoral theses from word processing files to PDF;
- 2.4. The thesis should be formatted in a standard format as formally recommended by the university. The National Committee would evolve a model format along with mandatory fields.
- 2.5. Each university may develop naming convention for files being submitted. Submission of a thesis may be allowed in multiple file, one file each for a chapter and provision for separate files for graphics, animations and video clippings.
- 2.6. Bibliographic details of cited items should be given in a standardized format. The national committee would recommend a format based on international standards for citing printed works as well as for citing web-based electronic resources;
- 2.7. The thesis should include an abstract of not more than 200 word;
- 2.8. The printed as well as the e-thesis are to be submitted as a final version (including corrections / modifications, if any);

- 2.9. Each university will also get the Author Approval Form signed by the students for assigning non-exclusive rights to the university to archive and disseminate the thesis.
- 2.10. The metadata and e-thesis submitted by the student should be duly checked by research supervisor / trained staff members for its completeness and accuracy. Skills of Librarians may be utilized for the verification of rendering of metadata and choice of keywords assigned;
- 2.11. Each university has to evolve a copyrights policy relating to the doctoral thesis which may be included in the IPR policy of the university; and
- 2.12. The University should take necessary steps to ensure long-term presentation of e-theses. Necessary help may be obtained from the computer centre / outside experts in this regard.

### **3. Setting-up E-thesis Repositories**

- 3.1. All universities should set-up an e-theses repository to facilitate e-submission, archiving, maintenance and access to these repository; at the University and also at a national repository at a website designated by the UGC; and
- 3.2. Universities may use OAI-complaint open source software to set-up their e-theses archives (e.g. D Space, ETD Software of VT, E-prints, etc.).

### **4. Retrospective Metadata of Ph.D Theses**

- 4.1. With an objective to compile a comprehensive database of doctoral theses submitted to the universities in India, all universities are required to submit the metadata for all the Ph.D. theses submitted to their university from retrospect;
- 4.2. Meta data for retrospective records in a standardized format should including an abstract / summary. A format based on international standards would be adopted by the National Committee.
- 4.3. If the metadata for theses is already available with the universities, it is to be ensured that this confirms to the standard mentioned above, it is complete in all respect and is validated. The retrospective data in standardized format may be sent to a central agency to be designated by the UGC as a comma-delimited file / excel sheet.

### **5. Implementation**

- 5.1. With the objective of facilitating and monitoring implementation of these regulations, a National Committee shall be constituted by the Chairman (UGC);
  - 5.2. The National Committee shall lay down data and technical standards, create tutorials and develop a guidebook for facilitating implementation of these regulations;
  - 5.3. The National Committee shall also develop a phased implementation plan and advise UGC and the universities on commitment of resources for successful implementation of these regulations; and
  - 5.4. The National Committee shall guide and advise the UGC and universities on all issues related or incidental to these regulations.
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